

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

PATENT FILING TRANSMITTAL

Transmitted herewith for filing is the Patent Application of: Joachim Frank, Werner Kriechbaum and Gerhard Stenzel

For: METHOD AND APPARATUS FOR THE AUTOMATIC SEPARATING AND  
INDEXING OF MULTI-SPEAKER CONVERSATIONS

which is to be assigned to IBM Corporation, Armonk, New York, and who should be listed on any patent application publication as the Assignee of this application.

TYPE OF FILING

This new patent application is for a(n):

- ☒ Utility  
☐ Design  
☐ Plant  
☐ Divisional  
☐ Continuation  
☐ Continuation-in-part

Benefit of a prior filed application

- ☐ This application claims the benefit of an earlier filed U.S. Patent Application under 35 USC 120.  
☒ Please accord Applicant the benefit of the priority date of 30 November 2000 to this case pursuant to 35 USC 119. Applicant's claim for priority is based on application 00127335.8 filed in the European Patent Office on that date.

Filing under 37 CFR 1.53 (Utility) or 37 CFR 1.153 (Design)

- ☒ This is an application filed pursuant to 37 CFR 1.53 or 37 CFR 1.153, permitting receipt of a filing date upon filing of a specification, at least one claim and necessary drawings.  
☒ In the event any parts of this application are incomplete, please treat this as a filing under 37 CFR 1.53 or 37 CFR 1.153.

ENCLOSURES

- ☒ 7 - pages of written description;  
☒ 3 - pages of claims;  
☒ 1 - pages of abstract;  
☒ 4 - sheets of formal drawings;  
☐ \_\_\_\_\_ - sheets of informal drawings;  
☒ Declaration and Power of Attorney or listing of inventors;  
**and**  
☒ Two postcards for return to us as proof of receipt of the above documents.

plus

- ☒ An Assignment of the invention to IBM Corporation and an Assignment cover sheet;  
☐ Verified Statement Claiming Small Entity Status (37 CFR 1.9(f) and 1.27(b))  
☐ Form PTO-1449 (IDS) and two copies of the references listed thereon;  
☒ A certified copy of European (country) patent application number 00127335.8 (priority document).  
☒ A preliminary amendment;  
☐ Declaration of Biological Deposit;  
☐ Submission of sequence listing, computer readable copy and/or amendment relating thereto for biotechnology invention containing nucleotide and/or amino acid sequence;  
☐ An associate power of attorney;  
☒ Other: Substitute Specification and Submission of Substitute Specification

#### DECLARATION OR OATH

The enclosed Declaration or Oath has been executed by:

- ☒ Inventor(s);  
☐ Legal representative of the inventors (37 CFR 1.42 or 1.43);  
☐ Joint inventor or person showing proprietary interest on behalf of an inventor who refused to sign or who cannot be reached and this is a petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is attached;  
☐ Has not been executed and is enclosed for the purposes of identifying the inventors.

#### INVENTORSHIP STATEMENT

The inventorship for all the claims in this application is:

- ☒ the same;  
☐ not the same and, as an explanation, a statement is/ will be submitted.

#### LANGUAGE

The application submitted herewith is:

- ☒ in English;  
☐ in not in English and in terms of 37 CFR 1.52(d) a verified translation is  
☐ attached  
☐ not attached.

#### FEE CALCULATION

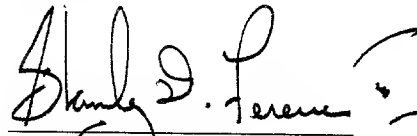
The filing fee has been calculated as shown below:

				SMALL ENTITY OR	OTHER THAN A SMALL ENTITY
BASIC FEE Design Patent				\$165	\$
BASIC FEE Utility Patent				\$370	\$
EXTRA FEES				RATE	FEE
TOTAL CLAIMS	31	MINUS 20 =	11	x 9=	\$0
INDEP. CLAIMS	7	MINUS 3 =	4	x 42=	\$0
<input type="checkbox"/> MULTIPLE DEP. CLAIM				+140=	\$
<input checked="" type="checkbox"/> ASSIGNMENT				+ 40=	\$
<input type="checkbox"/> RULE 53 SURCHARGE				+ 65=	\$
TOTAL				\$	\$1,314

FEE PAYMENT

- ☐ Attached is Check No. \_\_\_\_\_ in the sum of \$ \_\_\_\_\_ to cover the filing fee and, if applicable, the assignment fee.
- ☒ Please charge **IBM Corporation Deposit Account No. 50-0510** the amount of \$1,314, to cover the filing fee. Duplicate copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or credit **Deposit Account No. 50-0510** as required to correct the error.

Respectfully submitted,



Stanley D. Ference III  
Reg. No. 33,879

Dated: November 30, 2001

FERENCE & ASSOCIATES  
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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Joachim Frank et al. Group Art: not yet assigned  
Serial No. : not yet assigned Examiner: not yet assigned  
Filed : herewith  
For : METHOD AND APPARATUS FOR THE AUTOMATIC SEPARATING  
AND INDEXING OF MULTI-SPEAKER CONVERSATIONS

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EL765475027US

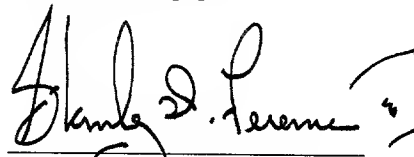
Date of Deposit 30 November 2001

I hereby certify that the following attached paper(s) or fee:

Patent Application  
Written Description  
Claims 1-18  
Abstract  
Drawings (Figs. 1-4)  
Declaration and Power of Attorney  
Assignment with (duplicate) Recordation Form Cover Sheet  
Certified Copy of European Patent Application No. 00127335.8  
Preliminary Amendment  
Substitute Specification  
Submission of Substitute Specification  
Patent Filing Transmittal (in duplicate)  
Certificate of Express Mail  
Two Return Postcards

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service  
under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner for  
Patents, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, Virginia 22202.

Stanley D. Ference III  
(Typed or printed name of  
person mailing paper)

  
(Signature of person mailing  
paper(s) or fee)

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In re Application of : Joachim FRANK et al.  
Serial No. : Unassigned Examiner : Unassigned  
Filed : Herewith Art Unit : Unassigned  
For : METHOD AND APPARATUS FOR THE  
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November 30, 2001

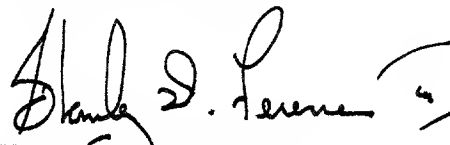
**SUBMISSION OF SUBSTITUTE SPECIFICATION**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Applicants respectfully submit the enclosed substitute specification under 37 C.F.R. §  
1.125. This substitute specification contains no new matter and reformats the application in  
the format preferred for examination in the United States.

Respectfully submitted,



Stanley D. Ference III  
Registration No. 33,879

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